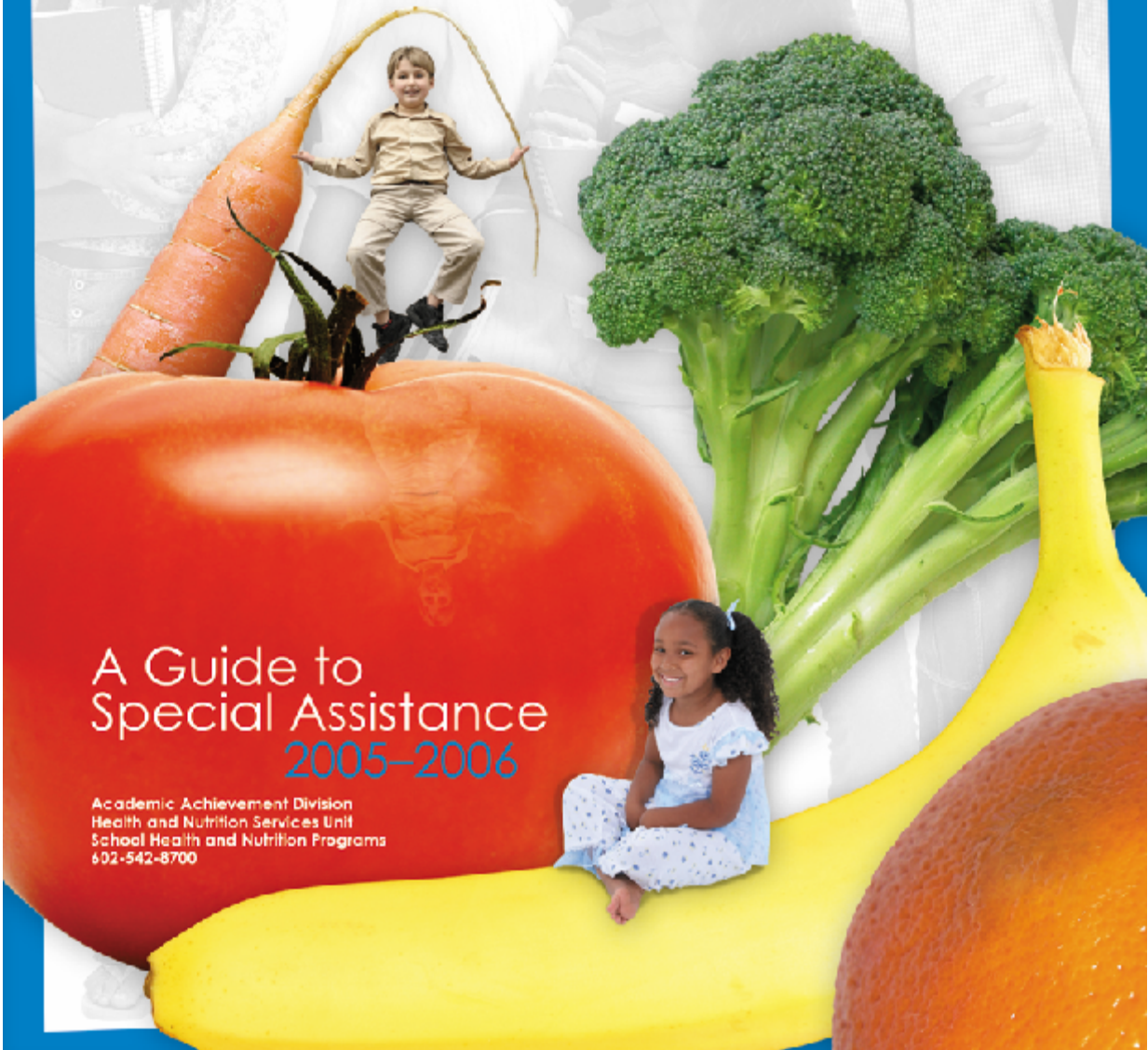




Arizona Department of Education
Tom Hironaka, Superintendent of Public Instruction

Provision 2 & 3 MANUAL



A Guide to
Special Assistance
2005-2006

Academic Achievement Division
Health and Nutrition Services Unit
School Health and Nutrition Programs
602-542-8700

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Introduction

Traditionally, school officials annually distribute free and reduced price meal applications to households of all enrolled children and make determinations of eligibility for free and reduced price meals under National School Lunch program (NSLP) and School Breakfast Program (SBP). In addition, schools must count the number of meals served by category (free, reduced, and paid meals). In an effort to reduce paperwork and other administration burdens at the local level, Congress incorporated into Section 11(a)(1) of the Richard B. Russell National School Lunch Act (42 USC 1759a) three alternative Provisions to the traditional requirements for annual determination of eligibility for free and reduced price school meals and daily meal counts by type. These alternatives are commonly referred to as Provision 1, 2, and 3. For more information on provision 1 please see Appendix B.

The Highlights of Provision 2 and 3

The benefits of Provision 2 and 3 are:

- Ⓢ Reducing paperwork for the school district and parents
- Ⓢ Decreasing cost per meal due to increased participation in the meal program
- Ⓢ Allowing each child access to a healthy lunch and/or breakfast
- Ⓢ Eliminating costs associated with conducting verification
- Ⓢ Eliminating meal counts by eligibility category
- Ⓢ Improving school attendance
- Ⓢ Improving student behavior
- Ⓢ Improving test scores among students

Overall Provision 2 and 3 are an advantage to the child, parent and school.

To use Provision 2 or 3, a school must set up a base year to establish reimbursement rates or percentages. During the base year, standard meal counting and claiming procedures are used.

- Ⓢ Income eligibility applications are collected
- Ⓢ Direct Certification is performed
- Ⓢ Eligibility is determined
- Ⓢ Verification is conducted
- Ⓢ Meals are counted by eligibility category at the point of service

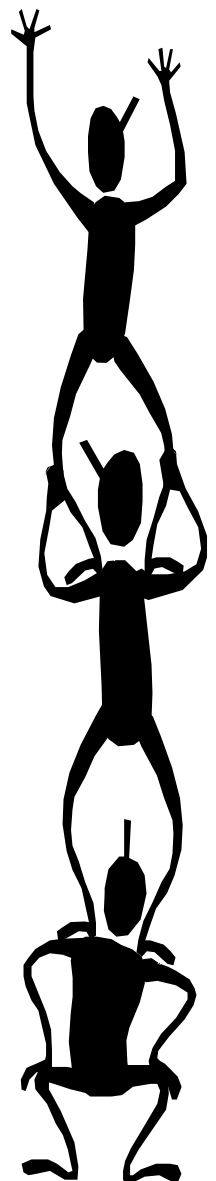
Once base year is completed the school does NOT have to:

- Ⓢ Collect income applications
- Ⓢ Perform Direct Certification
- Ⓢ Determine eligibility
- Ⓢ Conduct verification
- Ⓢ Count meals by eligibility category



During the non-base year

- Ⓢ Count the number of reimbursable meals



How do I know if Provision 2 & 3 is right for my school?



When deciding if either Provision is ideal for the school, there are several areas to look over. The first one is the financial aspect of adopting either Provision. Second is the amount of participation in the NSLP and/or SBP. Third is the growth of the school's enrollment.

Financial

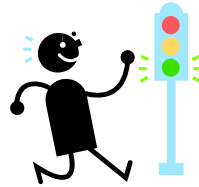
Labor reduction is the most important aspect of operating either Provision. To help determine the amount of labor and other savings throughout the school year, review the following questions:

1. How many labor hours are spent on processing an application?
 - a. Preparing applications to be sent out
 - i. Include all sites
 - b. Initial collection of applications
 - c. Certifying eligibility status
 - d. Conducting verification
 - e. Continuously collecting, updating and organizing applications
2. How many labor hours are used at the point of sale?
 - a. Counting by eligibility status
 - b. Entering counts into a the POS system
3. How much do the supplies cost?
 - a. Printing
 - b. Distributing (postage ect.)
4. Other costs associated with traditional NSLP?
 - a. Hardware and technical support costs for POS

If food service costs are greater than federal reimbursement, other non-federal funds must make up the difference.

To determine if either Provision is beneficial please visit www.ade.az.gov/health-safety/cnp/sa/. There are scenarios, a financial analysis, frequent questions and answers and more to assist in the decision making process. See Appendix C for detailed instructions for the financial analysis.

What are the 1st Steps?



The school must have these requirements met before they can be approved to participate in either Provision 2 or 3.

- Ⓢ Must participate for at least 2 consecutive years in NSLP prior to applying.
- Ⓢ Have a reliable process for
 - ✓ Collecting income applications
 - ✓ Performing verification
 - ✓ Counting meals by category
- Ⓢ Complete Special Assistance application and have an NSLP Specialist review it (see Appendix D)
- Ⓢ Fill out and submit a new free and reduced price policy (see Appendix E)
- Ⓢ Pass the Coordinated Review Effects (CRE) within your base year
- Ⓢ Attend A+ School Lunch Module (I-4)
- Ⓢ Complete checklist (see Appendix F and G)

What is Provision 2 all about?

Provision 2 is a 4 year cycle that establishes a CLAIMING PERCENTAGE in your base year (1st year) and is used for the following 3 non-base years (2nd, 3rd, 4th). For example, if you were to start Provision 2 in the 2005-2006 school year:

Year 1 (base year)	Year 2 (non-base yr)	Year 3 (non-base yr)	Year 4 (non-base yr)
2005-2006	2006-2007	2007-2008	2008-2009

The base year **MUST** start at the beginning of the school year. During the base year, standard meal counting and claiming procedures would be followed, however you would offer **FREE** lunch to **ALL** students. This needs to be done in order to develop the claiming percentages from the students' eligibility status. Since income applications are collected and status is determined, a claiming percentage can be derived. The claiming percentages represent the ratio of meals served in each category to the total reimbursable lunch and/or breakfast.

For example: There are a total of 1,000 meals served in a day. Since each meal is recorded by category in the base year, the following percentages are obtained:

Meal Category	# of meals served	divided	# of total meals served	=	% of each category
Free	800	divided	1,000	=	80%
Reduced	100	divided	1,000	=	10%
Paid	100	divided	1,000	=	10%

As a result, these claiming percentages would be used for the following next 3 base years.

How do I claim?



Base Year

Standard claiming procedures are used. Meals must be counted at the point of service by eligibility category (free, reduced price, and paid). All claims will continue to be processed in CNP Web.

If more than one site will be participating, each school must have their own eligibility data. Also breakfast and lunch counts must remain separate.

Non-Base Year

At the completion of the base year, an ADE Specialist will issue the school with their claiming percentages. The school will still continue to use the CNP web to enter in claims. However, only the number of meals served will be entered in. The computer will calculate for you the number of reimbursable meals per category by multiplying the claiming percentage by the total meals served.

During the non-base years the total amount of meals served will be reimbursed according to the claiming percentage.

For example, in school year 2004-2005 you served a total of 15,000 meals (lunch) in the month of March, your reimbursement would be:

Claiming Percentage	x	Total Meals Served	=	Percentage of Meal Category Served	x	Rates (High Rate)	=	Reimbursement amount
80% Free	x	15,000	=	12,000 meals	x	Free Rate \$2.26	=	\$ 27,120.00
10% Reduced	x	15,000	=	1,500 meals	x	Reduced Rate \$1.86	=	\$ 2,790.00
10% Paid	x	15,000	=	1,500 meals	x	Paid Rate \$0.23	=	\$345.00

If more than one site will be participating, each school must have their own eligibility data. Also breakfast and lunch counts must remain separate.

Monthly vs. Annual Claiming Percentages

There are two different types of claiming percentages that could be used for reimbursements.

- ☉ Monthly claiming is derived by taking total reimbursable meals in each month during the base year and applying the specific claiming percentage to the corresponding month throughout the following non-base years.
- ☉ Annual claiming percentages are based off of total meals throughout the whole school year. By doing annual claiming percentages, there will be a set percentage for every month.

How can I be successful at Provision 2?

Maximum Participation

To optimally run a Provision 2 school, it is extremely important that the school has maximum participation during the base year to help establish optimal claiming percentages.

- ☉ Include the students, parents and staff in this process.
- ☉ Promote free lunch and/or breakfast to the students to help increase participation.
- ☉ Encourage all parents to return the income application. For encouragement the school can mail out a non-pricing parent letter (see Appendix I) along with the income application to explain the new program.
- ☉ The staff should perform follow up calls and use direct certification to its fullest potential.

Delayed Implementation

Delayed Implementation is an optional process if your school has had low participation in returning income applications in the past. Delayed Implementation allows the school to charge students that are eligible for reduced price or paid meals for the first claiming period in your base year. Claiming periods are a maximum of 28 operating days (see Guidance Manual for further information). Delayed Implementation, provides financial incentives for parents to send in their income application in order for their child to receive a free or reduced price meal(s).

Communication

During the base year there is mandatory notification that must be done.

- ☉ Parents must be notified of their child's status (free, reduced price, paid)
- ☉ The public must be notified that non-pricing maybe a possible program implemented. This can be done via the media channels.
- ☉ Once the school has decided to adopt Provision 2 they must promptly notify the public and households of the availability.
 - ✓ This should be done through a media release
 - ✓ Letter to the parent regardless of the child's eligibility status.

Internal Control

During the base year the Local Education Agency (LEA) is required to:

- ☉ Review the lunch count data for each school under its jurisdiction to ensure the accuracy of the monthly claim for reimbursement.

During a non-base year the LEA must:

- ☉ Edit checks- compare the daily meal counts to the school's total daily enrollment (adjusted by the attendance factor) See Appendix H
- ☉ Perform an annual audit of each site that participates in Provision 2.

Training

The mandatory training classes provide a useful tool to aid in creating a successful Provision 2 program. During the base year the LEA is required to attend:

- ☉ The A+ School Lunch Training (at least module 1-4).
 - ✓ Attendance is encouraged for the Provision 2 and 3 Training during the base year,
- ☉ The Provision 2 and 3 training in the 1st non-base year.

Training Outline

Who should attend	Base Year	Non-Base Year
Food Service Director	✓ A+ School Lunch ✓ Provision 2 and 3*	✓ Provision 2 and 3

To see a dates/times and for registration please visit www.ade.az.gov/online-registration

*Not mandatory but highly encouraged

What happens at the end of the 4 year cycle?

There are several options:

- ☉ Apply for an extension
- ☉ Start a new base year
- ☉ Apply for a streamline base year
- ☉ Revert back to standard meal counting and claiming procedures

The school must notify ADE in writing with their decision before the end of the cycle.

Extension

An extension allows the school to continue Provision 2 for a new cycle. As a result the school can serve free meals for another 4 years without having to collect income applications. Extensions can be granted at the end of each 4 year cycle. (See Appendix J)

To obtain an extension the school must provide socioeconomic data from the base year and the current year. Approved socioeconomic data includes:

- ☉ Unemployment data
- ☉ Local food Stamp Program
- ☉ Food Distribution Program on Indian Reservation
- ☉ Statistical sampling of the school's population
 - ✓ Income application collection in the last year of the initial cycle
- ☉ TANF

All information must be reflective of the school's population. The information must be equivalent data for both the base year and the last year of the cycle. The information must effectively measure whether the income level of the school's population has remained stable, declined or had negligible improvement. Lastly, data must be approved by ADE.

Streamline

If an extension is not approved, ADE may approve a streamline base year. A streamline base year evaluates a portion of the of the school's population. Also, during a streamline base year ALL meals are served FREE. There are two options to determine program eligibility for a portion of the school's population:

1. Enrollment based- all students that have access to the NSLP and/or SBP
2. Participation based- students that participate in NSLP and/or SBP

Eligibility is based off of income applications and direct certification in either sample size. All students in the chosen sample size must be issued an application and 80% must be returned. In addition the sample size must be approved by the ADE.

Advantages versus Disadvantages of Provision 2

Advantages	Disadvantages
Collection of applications, eligibility determinations, and verification is waived for 3 non-base years	Difficultly obtaining applications and direct certification forms in future base years.
Increased participation from operating a non-pricing program.	Financial risk due to a loss of revenue from reduced price and paid meals from operating a non-pricing program
Reduced labor costs through simplified certification and meal counting procedures.	
Delayed implementation in first claiming period of base year (optional)	
Monthly Claiming Percentages	

What is Provision 3 all about?

Provision 3 is an initial 5 year cycle that establishes an AMOUNT OF REIMBURSEMENT (cash and commodities) in the base year (1st year) and that amount is used for the following 4 non-base years (2nd, 3rd, 4th, 5th). For example if you were to start Provision 3 in the 2005-2006 school year the cycle would be:

Year 1 (base year)	Year 2 (non-base yr)	Year 3 (non-base yr)	Year 4 (non-base yr)	Year 5 (non-base yr)
2005-2006	2006-2007	2007-2008	2008-2009	2009-2010

The base year **MUST** start at the beginning of the school year. During the base year, standard meal counting and claiming procedures would be followed, however there would be a choice to offer meals at no cost or at cost to the students. Schools are encouraged to consider offering all meals at no charge to have optimal participation and develop a level of cash and commodities that may be more reflective of participation during the base year.

The amount of reimbursement that the school receives in the first year is the amount that they will receive throughout the next 4 years. However, there is a monthly adjustment that based off of enrollment and inflation that may affect reimbursement.

For example if the enrollment has gone up 10% since the base year, than each meal category (free, reduced paid, paid) will increase by 10%.

How do I claim?

Base Year

Standard claiming procedures are used. Meals must be counted at the point of service by eligibility category (free, reduced, and paid). All claims will continue to be processed in CNP Web.

If more than one site will be participating, each school must have their own eligibility data. Also breakfast and lunch counts must remain separate.

Non-Base Year

The school will still continue to use the CNP web to enter in claims. However, only the total number of meals served and the current enrollment as of the end of the month will be entered.

How can I be successful at Provision 3?

Maximum Participation

To optimally run a Provision 3 school, it is extremely important that the school has maximum participation during the base year to help establish a true reimbursement amount.

- ☉ Include the students, parents and staff in this process.
- ☉ If offering meals at no charge, promote it to the students to help increase participation.
- ☉ Encourage all parents to return the income application. For encouragement the school can mail out a non-pricing parent letter (see appendix I) along with the income application to explain the new program.
- ☉ The staff should perform follow up calls and use direct certification to its fullest potential.

Communication

During the base year there is mandatory notification that must be done.

- ☉ Parents must be notified of their child's status (free, reduced price, paid)
- ☉ The public must be notified that non-pricing maybe a possible program implemented. This can be done via the media channels.
- ☉ Once the school has decided to adopt Provision 3 they must promptly notify the public and households of the availability.
 - ✓ This should be done through a media release
 - ✓ Letter to the parent regardless of the child's eligibility status.

Internal Control

During the base year the LEA is required to:

- ☉ Review the lunch count data for each school under its jurisdiction to ensure the accuracy of the monthly claim for reimbursement.

During a non-base year and streamline year, the LEA must:

- ☉ Compare the daily meal counts to the school's total daily enrollment (adjusted by the attendance factor)
- ☉ Perform an annual audit of each site that participates in Provision 3.

Training

The mandatory training classes provide a useful tool to aid in creating a successful Provision 3 program. During the base year the LEA is required to attend:

- ☉ The A+ School Lunch Training (at least module 1-4).
 - ✓ Attendance is encouraged for the Provision 2 and 3 Training during the base year,
- ☉ The Provision 2 and 3 training in the 1st non-base year.

Training Outline

Who should attend	Base Year	Non-Base Year
Food Service Director	✓ A+ School Lunch ✓ Provision 2 and 3*	✓ Provision 2 and 3

To see a dates/times and for registration please visit www.ade.az.gov/onlineregistration

*Not mandatory but highly encouraged

What happens at the end of the cycle?

There are several options:

- Ⓢ Apply for an extension
- Ⓢ Start a new base year
- Ⓢ Apply for a streamline base year
- Ⓢ Revert to standard meal counting and claiming procedures

The school must notify ADE in writing with their decision before the end of the cycle.

Extension

An extension allows the school to continue Provision 3 for a new 4 year cycle. As a result the school can serve free meals for another 4 years without having to collect income applications. Extensions can be granted at the end of each cycle. (See Appendix J)

To obtain an extension the school must provide socioeconomic data from the base and the current year. Approved socioeconomic data includes:

- Ⓢ Unemployment data
- Ⓢ Local food Stamp Program
- Ⓢ Food Distribution Program on Indian Reservation
- Ⓢ Statistical sampling of the school's population
 - ✓ Income application collection in the last year of the initial cycle
- Ⓢ TANF

All information must be reflective of the school's population. The information must be equivalent data for both the base year and the last year of the cycle. The information must effectively measure whether the income level of the school's population has remained stable, declined or had negligible improvement. Lastly, data must be approved by ADE.

Streamline

If an extension is not approved, ADE may approve a streamline base year. A streamline base year evaluates a portion of the of the school's population. Also, during a streamline base year ALL meals are served FREE. There are two options to determine program eligibility for a portion of the school's population:

3. Enrollment based- all student that have access to the NSLP and/or SBP

4. Participation based- student that participate in NSLP and/or SBP

Eligibility is based off of income applications and direct certification in either sample size. All students in the chosen sample size must be issued an application and 80% must be returned. In addition the sample size must be approved by the ADE.

Advantages versus Disadvantages of Provision 3

Advantages	Disadvantages
Collection of applications, eligibility determinations, and verification is waived for 4 non-base years.	Difficultly obtaining applications and direct certification forms in future base years.
Increased participation from operating a non-pricing program.	If you choose pricing in the base year, it will not be representative of future non-base years.
Reduced labor costs through simplified certification and meal counting procedures.	Financial risk due to a loss of revenue from reduced price and paid meals from operating a non-pricing program
Base year adjusted for enrollment change, number of serving days, and average daily participation.	

Summary of Provision 2 and 3

	Provision 2	Provision 3
Length of cycle	Every 4 year	Every 5 years
Length of cycle on extension	4 years	4 years
Base year meal type	All meals at no charge	All meals at no charge or standard pricing
Reimbursement type	Claim percentage	Amount of reimbursement (cash and commodities)
Enrollment adjustments	No	Yes
Option of Delayed Implementation	Yes	No
Implement Lunch and/or Breakfast on Provision	Yes	Yes
Streamline base year	Yes	Yes

What records do I need to keep?

For both Provision 2 and 3 there is a record keeping requirement. The failure to maintain records may result in fiscal action.

For the base year:

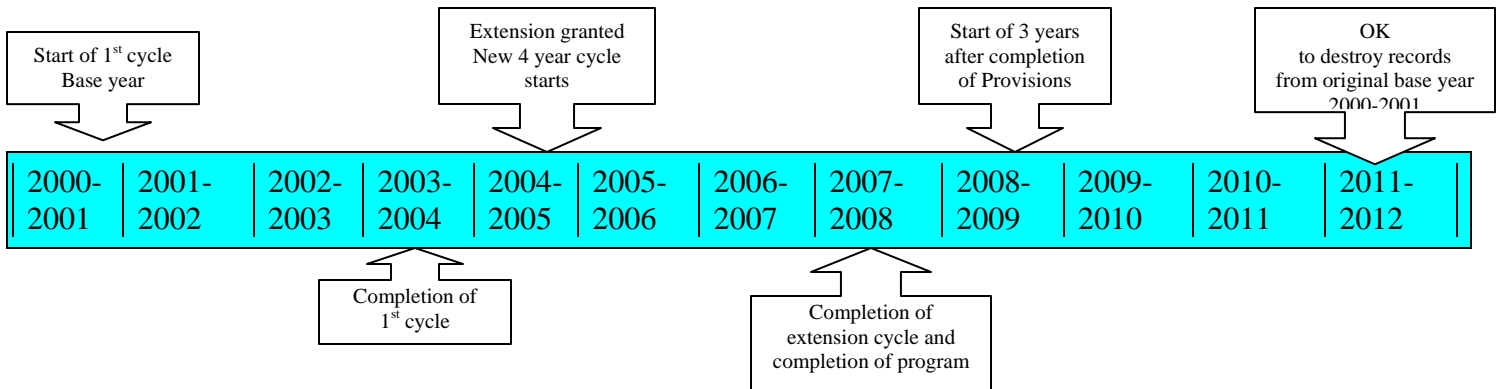
Records

- ✓ All meal counts
- ✓ Income eligibility applications
- ✓ Results of verification
- ✓ All claims
- ✓ LEA's reviews including edit checks

Timeline

- ✓ All records should be kept for the duration of the either Provision, including extensions
- ✓ 3 years after the completion of provision 2 or 3

For example if a school ran on Provision 2 for a traditional cycle and then had an extension, the timeline of record keeping would look like this:



For the non-base year

Records

- ✓ Total meal counts
- ✓ Edit checks
- ✓ On-site reviews
- ✓ Enrollment data
- ✓ All claims
- ✓ Number of operating days (Provision 3 only)

Timeline

- ✓ Three years after final claim

*See Appendix K

Base Year

- ☉ Standard record keeping
- ☉ LEA's reviews
- ☉ Keep for the entirety of the program plus 3 years

Non-Base Year

- ☉ Meal counts
- ☉ LEA Reviews
- ☉ Keep for 3yrs after final claim 15 -

Extension(s)

- ☉ Socioeconomic data
 - ✓ Base year
 - ✓ Current year



What if I change my mind?

At any time the school may stop using Provision 2 to 3. The following must occur:

- Ⓢ Traditional meal counting and claiming must resume
- Ⓢ Recertification to determine eligibility status
- Ⓢ Minimum of a 30 day period of temporary non-pricing
- Ⓢ Notify the parents

What if I want to change from Provision 2 to 3?

If the school would like to change to Provision 2 or 3 they may do so. The amount of reimbursement from the base year will be given vs. the claiming percentages. Here are some guidelines:

- Ⓢ Notify ADE and obtain approval
- Ⓢ Can only participate for a total of 4 years (combined)
- Ⓢ Policy statement updated
- Ⓢ Base year enrollment available

What if I want to change from Provision 3 to 2?

If the school would like to change to provision 2 from 3 they may do so. The claiming percentage will be determined from the Provision 3 base year. In addition, the follow is required:

- Ⓢ Provision 3 base year must have been FREE to ALL students
- Ⓢ Notify ADE and obtain approval
- Ⓢ Can only participate for a total of 4 years (combined)
- Ⓢ Policy statement updated
- Ⓢ Base year enrollment available



Appendix A - Glossary

ADE	Arizona Department of Education
Administrative Review	Review conducted by Child Nutrition Program staff to assess the adequacy of the eligibility certification process and accuracy of the meal counting and claiming system in the base year.
Annual Claiming Percentages (Provision 2 only)	A school may add meal counts by category for the entire base year and convert to claiming percentages for free, reduced-price, and paid meals. The school then uses the annual claiming percentage for each category for each month of the non-base year.
Base Year	The last school year that applications for free or reduced-price meal benefits were distributed, eligibility determinations were made, and verification was conducted.
Benefit Issuance Document	Link between the eligibility determination and how a meal is claimed for reimbursement.
Child Nutrition Programs	Includes the National School Lunch, School Breakfast, Special Milk Programs, After School Snack, and Summer Food Programs.
Daily Edit Checks	Ensures the number of eligible children do not exceed the meal count for the day.
Delayed Implementation (Provision 2 only)	Enables schools to charge students in reduced price and paid meal categories in the base year for first claiming period only.
Direct Certification	Process of establishing children's eligibility for benefits by obtaining documentation directly from the Department of Economic Security (DES). Households determined eligible for meal or milk benefits through direct certifications are not required to submit a free and reduced-price application to the school; instead they provide the DES notification, titled Free Meals Programs.

Appendix A - Glossary

FDPIR (Food Distribution Program on Indian Reservations)	Enables families on certain Indian Reservations who meet Food Stamp income guidelines to receive commodity foods.
Free Meal	Meals served under the National School Lunch Program or School Breakfast Program to a child from a household eligible for such benefits. Neither the child nor any household member can be required to work in the school or in the school's food service to supplement the cost of the meal.
NSLP (National School Lunch Program)	Program under which participating schools operating a nonprofit food service operation receive cash assistance and donated food assistance.
Non-Pricing Program	All enrolled students receive meals at no charge despite their eligibility status. Meals are claimed for reimbursement by the students' eligibility status.
Point of Service Meal Counts	Meals are counted at that point in the food service operation where it can be accurately determined that a reimbursable free, reduced-price or paid meal has been served to an eligible student.
Pricing Program	Charging children eligible for reduced price and paid meals. Only an option for Provision 3 in the base year.
Reduced-Price Meal	A meal served under the National School Lunch or School Breakfast Program to a child from a household eligible for such benefits. The price of this meal <i>MUST</i> be less than the full price of the meal and no more than 40 cents for lunch and 30 cents for breakfast. Neither the child nor any household member can be required to work in the school or in the school's food service to supplement the cost of the meal.
SBP (School Breakfast Program)	Federally assisted meal program operating in schools and institutions. It provides nutritionally balanced, low-cost, or free breakfasts to children each school day.

Appendix A - Glossary

SFA (School Food Authority)	Governing body responsible for the administration of one or more schools, and either has the legal authority to operate School Nutrition Programs in these schools or is otherwise approved by the Food and Nutrition Service to operate School Nutrition Programs.
Streamlined Base Year	A streamlined base year is only available when a school has completed at least one standard cycle, and has applied for, and has been denied, an extension. Choice of two options either develop a new set of claiming percentages based on the eligibility of currently <i>enrolled</i> students for free, reduced price, and paid meals or, develop a new set of claiming percentages based on the eligibility of currently <i>participating</i> students for free, reduced price, and paid meals. Each of these methods, enrolled based and participation based, allow for the use of statistical sampling.
USDA (United States Department of Agriculture)	Federal agency designated by Congress to administer the National School Lunch, School Breakfast, Special Milk Programs, After School Care Snack, and Summer Food Programs.
Verification	Confirmation of eligibility for free and reduced price meals under the National School Lunch or School Breakfast Program. Verification <i>must</i> include either confirmation of income eligibility or confirmation that the child is included in a currently certified Food Stamp/FDPIR household or CA unit. At State or local discretion, verification may also include confirmation of any other information on the application, which is required as a condition of eligibility.

Appendix B- Provision I

In schools where are least 80% of the children enrolled are eligible for free or reduced price meals may adopt Provision I.

- Ⓢ Allows schools to only collect applications every 2 years from children of free status. Children of reduced or paid status will not receive a free meal and will have to submit income applications yearly.
- Ⓢ In March is when the numbers will be determined if the school is 80% or more free and reduced.
- Ⓢ Traditional meal counting by category must continue.
- Ⓢ Records must be maintained for 5 years

For more information please visit www.ade.az.gov/health-safety/cnp/nsfp


Advantages

Disadvantages

Reduced burden for households eligible for free meal benefits	Annual approval of applications for students eligible for reduced-price meals
Simplified eligibility determinations for households eligible for free meal benefits in non-base years	Annual verification of households eligible for reduced-price meal benefits
Collecting applications every second year	Annual meal counts by category at the point of service.

Appendix C-Financial Analysis Instructions

You can enter your information in the boxes below and reenter them on the web spreadsheet or you can go directly to the spreadsheet on the Special Assistance section of the ADE website, <http://www.ade.az.gov/health-safety/cnp/sa/>. From

the website, click Financial Analysis, and then click . This displays the Excel spreadsheet on your screen and you can begin entering your information. When finished, be sure to save the spreadsheet.



You must have Microsoft Excel version 97 or higher on your PC to use the tool. Follow the onscreen directions to enter your information in the spaces provided.

You may not see the colored boxes on these pages, but you will see them on the website. A green cell indicates a place for you to enter information. A blue cell indicates a place where the spreadsheet displays calculations from the numbers you entered. A red triangle (▼) in the corner of a cell indicates an attached comment that you can view in Excel.

Section A: Annual Revenue from Meals Served

1. Enter your school name in the space provided.
2. Enter the number of serving days in this school year.

1. School Name					
2. School Year					

3. For Sections 3, 4, and 5 enter data from your most recently completed month. For example, if today is February 5, use data from January.

You will use the numbers entered in this section to estimate your increased participation in Part 3.

3. School Site Data	Counts	% Breakfast participation	% Lunch participation
Serving Days For The School Site In The Month			
Average School Site Enrollment			
# of Students Eligible for Free Lunch		#DIV/0!	#DIV/0!
# of Students Eligible for Reduced		#DIV/0!	#DIV/0!
# of Students That Have To Pay	0	#DIV/0!	#DIV/0!

4. Enter the meal counts for the most recently completed month.

Unless you are a single site school district, this information does not come from the claim form but from a worksheet used to compile the figures for the claim form.

4. Meal Count Data For This School Site								
							Average Daily Federal Reimbursement Revenue	Average Daily Student Copoly Revenue
Student Breakfast		The Month Counts	Federal Reimbursement Per meal	Student Co- Pay Per Meal				
	Free						#DIV/0!	
	Reduced						#DIV/0!	#DIV/0!
	Paid						#DIV/0!	#DIV/0!
Student Lunch								
	Free						#DIV/0!	
	Reduced						#DIV/0!	#DIV/0!
	Paid						#DIV/0!	#DIV/0!

5. Enter the total amount of a la carte sales for the month you are using. Estimate the total food cost of all a la carte items. You want the gross profit from these sales.

5. Monthly A la Carte Sales to Students Only		a la carte amount				
Total Sales (Revenue)						
Total Food Cost Of Items Sold						
Gross Profit		\$ -				#DIV/0!

6. For sections 6 and 7, the spreadsheet calculates the total average daily revenue and the annual revenue for meals served to students.

6. Total Average Daily Revenue						#DIV/0!	#DIV/0!
						Annual Federal Reimbursement Revenue	Annual Revenue From Students
7. Annual Revenue For Meals Served to Students						#DIV/0!	#DIV/0!

Section B: Annual Cost of Meals Served to Students

For Sections 1, 2, and 3 enter your data for the most recently completed fiscal year. You may have to estimate the food cost for a single breakfast and a single lunch.

Enter the average cost per meal in each space.

1. Cost of Raw Food		Average Cost Per Meal				Annual Raw Food Cost
Breakfast						#DIV/0!
Lunch						#DIV/0!
Total Cost of Raw Food						#DIV/0!

Enter the annual cost of labor for your school.

[illegible]

Enter the cost per meal for non-food supplies.

3. Other Expenses									Annual Other Expenses
Per Meal Cost of Non Food Supplies									#DIV/0!

Enter the amount your school has decided will not be collectible.

Annual Write-offs due to unpaid student charges					
Annual cost of computerized meal count system (only if applicable at school level)					

The spreadsheet calculates this information for you.

4. Total Annual Cost of Meals Served to Students						#DIV/0!
5. Net Revenue (Revenue Minus Cost)						#DIV/0!

Section C. Estimates for Provision 2 and 3

From Section A3, you have your current level of participation. Now estimate what you think your increased level of participation will be. The participation should be higher due to the non-pricing operation.

				Participation of Student Eligible to Free Meals	Participation of Student Eligible to reduced Price Meals	Participation of Non Eligible Student	Raw Food Cost
	Estimated % Participation In Breakfast						
	Resulting Meal Count Per Day			0	0	0	0
	Estimated % Participation In Lunch						
	Resulting Meal Count Per Day			0	0	0	0

The system calculates this information for you.

2. Estimated Increase in Annual Cost of Raw Food						#DIV/0!
3. Estimated Increase in Federal Reimbursement						#DIV/0!
4. Loss of Copay Revenue						#DIV/0!

Enter the estimated decrease in labor costs. Using Special Assistance eliminates certain tasks, such as application collection and meal counts by category. This should help to decrease your labor expenses.

[illegible]

Estimate your decrease in a la carte sales and your estimated savings on cost of computerized meal count system. The system, using your information, calculates the write offs and net estimate.

[illegible]

Section D. Balance if Provision 2 or 3 is adopted.

D. Balance If Provision 2/3 is Adopted				#DIV/0!
----------------------------------------	--	--	--	---------

Appendix- D –Application

Arizona Department of Education Child Nutrition Program Application for Special Assistance

Please review the Special Assistance Guidance Manual. After reviewing the Manual, if you would like to apply for the Special Assistance Program, please complete this application. Once completed, submit the application to your specialist at the Department of Education, Child Nutrition Programs for review. **Please note that this application is not approved until you receive an official letter of approval from this department.**

Sponsor Name:	CTD#
Contact/Title:	Phone #:

1. Indicate the Special Assistance option you are interested in: Provision 1, Provision 2 or Provision 3.

2. Indicate number of sites that you want to enroll in the Special Assistance Program: _____

Please list those sites. If more space is needed, you may duplicate the table and attach it to this page.

If you are already on Special Assistance and are adding sites, complete this chart and sign the application.

NAME OF SCHOOL	BASE YEAR	BREAKFAST (B), LUNCH (L), OR BOTH (BL)

3. You must have an acceptable certification/benefit issuance system and meal counting/claiming system, as evidenced in a successful administrative review within the last year. Since the last review, has there been any change in the Food Service Director or in the meal counting and claiming system? Y___N___

4. A sponsor may not supplement its meal service operation with any federal funds other than USDA reimbursement, BIA funds and any other source earmarked for meal service. Is this requirement understood? Y___N___

5. You must have a representative attend the Special Assistance training during the base year and in the first non-base year. Is this requirement understood? Y___N___

6. Have you read and understood the requirements of Special Assistance (see handbook)? Y___N___

I CERTIFY that the information in this application is true, and that I agree to carry out the terms of the agreement to operate the Special Assistance Program. I understand that this information is given in connection with the receipt of federal funds and that deliberate misinterpretation may be subject to prosecution under applicable federal statutes.

Print name (authorized signatory)_____

Signature:_____Date:_____

FOR OFFICE USE ONLY

Date of Last Review _____

Passed Y___N___

Approved: Y___N___ Original Base Year _____ Provision _____

Approving Specialist _____ Date _____

Additional information/comments: (Specialist, please sign and date) _____

Base Year _____ Next Base Year _____

Appendix E – Free and Reduced Price Policy Statement

Policy Statement for Pricing Programs

This policy statement outlines regulations of the United States Department of Agriculture and will be considered a permanent document. This statement applies to the programs in which the sponsor will be participating as indicated on the application and agreement.

The SPONSOR assures the STATE AGENCY that the SPONSOR will implement a policy in conformance with 7 CFR part 245.10 to determine children's eligibility for free and reduced-price benefits (meals and/or milk) in the National School Lunch, School Breakfast and Special Milk Programs under its jurisdiction. In fulfilling its responsibilities, the SPONSOR shall:

1. Provide prescribed benefits free or at a reduced-price to children from families whose income does not exceed DEPARTMENT guidelines or to children from food stamp households, CA or FDPIR assistance units that provide a case number or are directly certified by the Department of Economic Security. NOTE: The SPONSOR has two options if participating in the Special Milk Program: 1) to offer milk *free*, or 2) to *charge* for milk, on a nonprofit basis.
2. Submit annually to the STATE AGENCY, Child Nutrition Programs Unit, copies of the SPONSOR'S Parent Letter (including names of the reviewing officials and hearing official), Income Application, Approval/Denial Notice, Meal Count System Information, the Free and Reduced-Price Document Summary and After School Care Program Information, **if** the SPONSOR is new to the program or if there have been changes to the previously approved forms.
3. If there have been **no changes**, submit the Free and Reduced-Price Document Summary and indicate the options you have selected for the new program year. The Income Application, Approval/Denial Notice and Meal Count System Information shall be deemed part of this policy statement and will be made permanent. Changes to any of the above documents require the approval of the STATE AGENCY, Child Nutrition Programs Unit.
4. Accept applications at any time during the year. If a child transfers from one school to another, under the jurisdiction of the same SPONSOR, eligibility for free or reduced-price benefits will be transferred to and honored by the receiving school. All children from a family which receives the same benefits shall be notified within ten working days of the acceptance or denial of their application. Children shall be served immediately upon the establishment of their eligibility.
5. When an application is rejected, parents or guardians shall be informed in writing of the reason for denial and of the hearing procedures herein provided. Parents shall be notified that they may reapply for free and reduced-price benefits or free milk at any time during the school year. The SPONSOR shall designate as a hearing official someone not involved in the original eligibility determination, preferably someone in a position superior to that of the determining official.
6. Establish a hearing procedure under which: (1) a family may appeal a decision made by the School Food Authority with respect to an application the family has made for free or reduced-price meals or for free milk, and (2) the School Food Authority may challenge the continued eligibility of any child for a free or reduced-price meal or for free milk. The hearing procedure shall provide for both the family and the School Food Authority:
 - a. A simple, publicly announced method to make an oral or written request for a hearing;
 - b. An opportunity to be assisted or represented by an attorney or other person;

- c. An opportunity to examine, prior to and during the hearing, any documents and records presented to support the decision under appeal
 - d. Assurance that the hearing shall be held with reasonable promptness and convenience, and that adequate notice shall be given as to the time and place of the hearing;
 - e. An opportunity to present oral or documentary evidence and arguments supporting a position without undue interference;
 - f. An opportunity to question or refute any testimony or other evidence and to confront and cross-examine any adverse witnesses;
 - g. Assurance that the hearing shall be conducted and the decision made by a hearing official who did not participate in making the decision under appeal or in any previously held conference;
 - h. Assurance that the decision of the hearing official shall be based on the oral and documentary evidence presented at the hearing and made a part of the hearing record;
 - i. Assurance that the parties concerned and any designated representative shall be notified in writing of the decision of the hearing official;
 - j. Assurance that a written record shall be prepared with respect to each hearing, which shall include the challenge or the decision under appeal, any documentary evidence and a summary of any oral testimony presented at the hearing, the decision of the hearing official, including the reasons therefore, and a copy of the notification to the parties concerned of the decision of the hearing official;
 - k. Assurance that the written record of each hearing shall be preserved for a period of five years and shall be available for examination by the parties concerned or their representatives at any reasonable time and place during that period;
 - l. Notice that benefits already ongoing shall be continued until ten working days after a decision has been reached by the hearing official;
 - m. Notice that households that have been approved for benefits and that are subject to a reduction or termination of benefits later in the same school year shall receive continued benefits if they appeal the adverse action within the 10-calendar-day advance notice period; and
 - n. Notice that households that are denied benefits upon application shall not receive benefits.
7. Not segregate or discriminate against any child because of inability to pay the full price. Further assurance is given that:
- a. The names of the children shall not be published, posted, or announced in any manner, unless an approved multi-use application is in use;
 - b. There shall be no overt identification of any of the children by the use of special tokens, tickets, or by any other means;
 - c. The children shall not be required to work for their meals or milk;

d. The children shall not be required to use a separate dining area, go through a separate serving line, enter the dining area, or consume their meals or milk at a different time;

e. When more than one lunch, breakfast, or type of milk is offered which meets the requirements of 7 CFR parts 210.10, 220.8 or 215.2, the children shall have the same choice of meals and/or milk that is available to those children who pay the full price for their meals and/or milk; and

f. Children shall not be discriminated against because of race, color, national origin, gender, religion, age, disability, political beliefs, sexual orientation and marital or family status.

8. Make determinations of eligibility for free or reduced-price benefits specified in 7 CFR part 245. Officials shall use the criteria referred to in this policy for the parent application.
9. Distribute to each child's parent or guardian a letter announcing eligibility criteria as required in 7 CFR part 245.5(a) and an application form for free or reduced-price benefits at the beginning of each school year and whenever there is a change in eligibility criteria.
10. Make available the free and reduced-price guidelines and other information contained in the parent letter to local unemployment offices and major employers contemplating large layoffs in the area from which its attendance is drawn as required in 7 CFR part 245.5(a).
11. Verify approved free and reduced-price applications by December 15 as specified by 7 CFR part 245.6a. Maintain a description of the verification activities as required by CFR part 245.6a 3(c).
12. Have the opportunity to determine children as eligible for free meals or free milk based on Direct Certification in place of information submitted by the household on the income application. Direct Certification forms must be retrievable by school.
13. Agree that the STATE AGENCY will submit a public/press release containing both free and reduced-price eligibility guidelines and other information required to be contained in parent letter to news media. The SPONSOR agrees to submit a public/press release to local unemployment offices and major employers contemplating or experiencing layoffs.

Policy Statement for Nonpricing Programs

The SPONSOR warrants and represents that:

1. All children in attendance or residence are being served the same choice of meals and/or milk at no separate charge.
2. The SPONSOR has data on all children claimed for free or reduced-price benefits and assures the STATE AGENCY that each child receiving such benefits meets the prescribed eligibility criteria.
3. A daily count is kept by meal type for all meals and/or milk claimed.

() Special Assistance - Provision 1 Programs, Additional Requirements if applicable

A School Food Authority of a school having at least 80 percent of its enrolled children determined eligible for free and reduced-price meals may, at its option, authorize the school to reduce annual certification and public notification for those children eligible for free meals to once every two consecutive school years. The following requirements shall apply:

1. A School Food Authority of a school operating under Provision 1 requirements shall publicly notify parents of enrolled children who are receiving free meals once every two consecutive school years, and shall publicly notify parents of all other enrolled children on an annual basis.
2. The 80 percent enrollment eligibility for this alternative shall be based on the school's March enrollment data of the previous school year, or on other comparable data.
3. A School Food Authority of a school operating under Provision 1 shall count the number of free, reduced-price and paid meals served to children in that school as a basis for monthly reimbursement claims.

Special Assistance - Provision 2 Programs, Additional Requirements if applicable

A School Food Authority which oversees a school serving meals free of charge to all enrolled children in that school may publicly notify and certify children for free and reduced-price meals for up to four consecutive school years, provided that eligibility determinations shall be in accordance with 7 CFR part 245.3 during the first school year. The following requirements shall apply:

1. Except for assistance properly made available under parts 210, 220, 240, 250, the Indian Child Welfare Act 95-608, and by other legislation, a School Food Authority of a school operating under Provision 2 requirements agrees to pay with funds from other than federal sources for:
 - a. Meals served to children not eligible for free or reduced-price meals; and
 - b. The differential between the per-meal cost and federal reimbursement received for each free or reduced-price meal, respectively, served to children eligible to receive such meals under applicable program regulations.
2. In the first year, schools must take daily counts each month of the number of meals served by meal type (free, reduced-price, and paid) and convert the number of each meal type to a percentage of total meals served for the month. The percentages are derived by dividing the monthly total number of meals served by one meal type (e.g. free) by the total number of meals served the same month for all meal types (free, reduced-price, and paid).
3. For the purpose of calculating reimbursement claims, for the second, third, and fourth school years, the three percentages, calculated at the end of each month of the first school year (base year), shall be multiplied by corresponding monthly meal totals of all meal types (free, reduced-price and paid meals).
4. Eligibility determinations from the base year must be maintained for as many years as necessary to substantiate claims for reimbursement in the applicable Provision 2 cycle, including any extensions of that cycle.

() Special Assistance - Provision 3 Programs, Additional Requirements if applicable

A School Food Authority which oversees a school serving meals free of charge to all enrolled children may publicly notify and certify children for free and reduced-price meals for up to five consecutive school years, provided that eligibility determinations shall be in accordance with 7 CFR part 245.3 during the first school year. The following requirements shall apply:

1. Except for assistance properly made available under parts 210, 220, 240, 250, the Indian Child Welfare Act 95-608, and by other legislation, a School Food Authority of a school operating under Provision 3 requirements agrees, after the first year, to pay with funds from other than federal sources for:
 - a. Meals served to children not eligible for free or reduced-price meals; and
 - b. The differential between the per-meal cost and federal reimbursement received for each free or reduced-price meal, respectively, served to children eligible to receive such meals under applicable program regulations.
2. Reimbursement in the four years following the first year (base year) will be determined by taking the prior year's reimbursement and adjusting for changes in enrollment and inflation. Meal counts are not required to be taken during these years. Enrollment change must be based on the school's enrollment on October 31 annually.
3. Eligibility determinations from the base year must be maintained for as many years as necessary to substantiate claims for reimbursement in the applicable Provision 3 cycle, including any extensions of that cycle.

(Print or Type Name and Title)

(Authorized Signature)

(Sponsor/School)

(Date)

Appendix F- Provision 2 Checklist



Applying

- ☐ Compete final tool
- ☐ Submit application
- ☐ Update Free and Reduced Price Policy Statement

Base year

- ☐ Send out Non-Pricing letter to parents indicating ALL students may receive meals at NO charge
- ☐ Send out income applications
- ☐ Notify public that meals to ALL students will be served at NO charge
- ☐ Attend A+ School Lunch Modules
- ☐ Try to attend Provision 2 and 3 training class
- ☐ Collect applications, conduct verification, and count category meals served per category
- ☐ Send second letter to parents regarding income application submission if there is a poor response
- ☐ Obtain and file socioeconomic data
- ☐ Count total number of reimbursable meals served at the point of service by eligibility category

Non-Base year

- ☐ Notify parent that meals will be provided to ALL students at No charge
- ☐ Send new staff to training if appropriate
- ☐ Count total number of reimbursable meals served at the point of service

Last year of the cycle

- ☐ Notify ADE in writing of the school's decision
 - Applying for an extension
 - Provide ADE with socioeconomic data
 - Collect data from other agencies (if applicable)
 - Resorting back to standard NSLP/SBP
 - Send letter to parents (end of school year)

Appendix G-Provision 3 Checklist



Applying

- ☐ Complete financial tool
- ☐ Submit application
- ☐ Update Free and Reduced Price Policy Statement

Base year

- ☐ Send out income applications
- ☐ Send out a letter of intent to the parents if pricing occurs
- ☐ Send out Non-Pricing letter to parents indicating ALL students may receive meals at NO charge (if applicable)
- ☐ Notify public that meals to ALL students will be served at NO charge (if applicable)
- ☐ Attend A+ School Lunch Module
- ☐ Try to attend Provision 2 and 3 training class
- ☐ Collect applications, conduct verification, and count category meals as normal
- ☐ Send second letter to parents regarding income application submission if there is a poor response
- ☐ Obtain and file socioeconomic data
- ☐ Count total number of reimbursable meals served at the point of service by eligibility category

Non-Base year

- ☐ Notify parent that meals will be provided to ALL students at No charge
- ☐ Send new staff to training if appropriate
- ☐ Count total number of reimbursable meals served at the point of service

Last year of the cycle

- ☐ Notify ADE in writing of the school's decision
 - Applying for an extension
 - Provide ADE with socioeconomic data
 - Collect data from other agencies (if applicable)
 - Resorting back to standard NSLP/SBP
 - Send letter to parents (end of school year)

Appendix H- LEA's Edit Checks Worksheet

How do we calculate our edit check numbers for Provision 2?

The following calculations provide the information necessary to conduct the daily edit check for Provision 2 schools.

$$\frac{\text{\# Students with Access to Program}}{\text{\# Students with Access to Program}} \times \frac{\text{Attendance Factor}}{\text{Attendance Factor}} = \frac{\text{Attendance-Adjusted Enrollment}}{\text{Attendance-Adjusted Enrollment}}$$

Next compare the attendance-adjusted enrollment to the total of meals claimed for that day.

$$\frac{\text{Attendance-Adjusted Enrollment}}{\text{Attendance-Adjusted Enrollment}} \text{ vs. } \frac{\text{Total Daily Meal Count}}{\text{Total Daily Meal Count}}$$

If the total daily meal count exceeds the attendance-adjusted enrollment, you need to research the reason(s) why the day's meal counts exceeded the attendance-adjusted enrollment. Prior to submitting the Claims for Reimbursement, you must make corrections or, if necessary, justify the numbers to the ADE. It should be determined if the counting system needs to be changed, and if so, the proper corrective action must be taken.

Appendix I–Forms- Parent Letter – Nonpricing School Meal Program

Dear Parent/Guardian:

We are pleased to inform you that all children attending [Name of School] will receive meals at no charge during school year [Enter school year] unless otherwise notified. Providing meals to children is a growing challenge and requires our taking advantage of all available funding resources. One of these resources is the reimbursement program for free and reduced-price meal benefits from the United States Department of Agriculture (USDA).

So that we can keep our costs low and provide excellent food service for children, we need some information for USDA reimbursement purposes. Your cooperation is appreciated. If your households' income is at or below the level shown on the Federal Income Chart located on the back of the attached income application, please answer all questions on the income application form. An income application which does not contain the requested information cannot be processed by the school.

1. Do I need to fill out an application for each child? No. Complete the application to apply for free or reduced price meals. Use one Free and Reduced Price School Meals Application for all students in your household. We cannot approve an application that is not complete, so be sure to fill out all required information. **Return the completed application to: [name, address, phone number].**

2. Who can get free meals? Children in households getting Food Stamps or Cash Assistance (CA) or FDPIR and most foster children can get free meals regardless of your income. Also, your children can get free price meals if your household income is within the free limits on the Federal Income Guidelines.

3. Can homeless, runaway and migrant children get free meals? Please call [school, homeless liaison or migrant coordinator] to see if your child(ren) qualify, if you have not been informed that they will get free meals.

4. Who can get reduced price meals? Your children can get low cost meals if your household income is within the reduced price limits on the Federal Income Chart, shown on this application.

5. Should I fill out an application if I got a letter this school year saying my children are approved for free or reduced price meals? Please read the letter you got carefully and follow the instructions. Call the school at [phone number] if you have questions.

6. I get WIC. Can my child(ren) get free meals? Children in households participating in WIC may be eligible for free or reduced price meals. Please fill out an application.

7. Will the information I give be checked? Yes, we may ask you to send written proof.

8. If I don't qualify now, may I apply later? Yes. You may apply at any time during the school year if your household size goes up, income goes down, or if you start getting Food Stamps, CA or FDPIR or other benefits. If you lose your job, your children may be able to get free or reduced price meals.

9. What if I disagree with the school's decision about my application? You should talk to school officials. You also may ask for a hearing by calling or writing to: [name, address, phone number].

10. May I apply if someone in my household is not a U.S. citizen? Yes. You or your child(ren) do not have to be a U.S. citizen to qualify for free or reduced price meals.

11. Who should I include as members of my household? You must include all people living in your household, related or not (such as grandparents, other relatives, or friends). You must include yourself and all children who live with you.

12. What if my income is not always the same? List the amount that you normally get. For example, if you normally get \$1000 each month, but you missed some work last month and only got \$900, put down that you get \$1000 per month. If you normally get overtime, include it, but not if you get it only sometimes.

13. We are in the military, do we include our housing allowance as income? If your housing is part of the Military Housing Privatization Initiative, do not include your housing allowance as income. All other allowances must be included in your gross income.

If you have other questions or need help, call [phone number].

Si necesita ayuda, por favor llame al teléfono: [phone number].

Si vous voudriez d'aide, contactez nous au numero: [phone number].

Sincerely,
[signature]

Appendix J- Application for an Extension

Arizona Department of Education

Child Nutrition Program

Application for an Extension on Special Assistance

Please review the Special Assistance Guidance Manual. After reviewing the Manual, if you would like to apply for an extension on Special Assistance Program, please complete this application. Once completed, submit the application to your specialist at the Department of Education, Child Nutrition Programs for review. **Please note that this application is not approved until you receive an official letter of approval from this department.**

Sponsor Name:	CTD#
Contact/Title:	Phone #:

1. Please indicate the Special Assistance option that you are currently operating: Provision 1, Provision 2 or Provision

2. Indicate number of sites that you want to enroll in the Special Assistance Program: _____

Please list those sites. If more space is needed, you may duplicate the table and attach it to this page.

If you are already on Special Assistance and are adding sites, complete this chart and sign the application.

NAME OF SCHOOL	ORIGINAL BASE YEAR	BREAKFAST (B), LUNCH (L), OR BOTH (BL)

3. A sponsor may not supplement its meal service operation with any federal funds other than USDA reimbursement, BIA funds and any other source earmarked for meal service. Is this requirement understood? Y___N___

4. You must have an acceptable certification/benefit issuance system and meal counting/claiming system, as evidenced in a successful administrative review within the last year. Since the last review, has there been any change in the Food Service Director or in the meal counting and claiming system? Y___N___

5. Have you read and understood the requirements of Special Assistance and understand what an extension is (see handbook)? Y___N___

6. You must provide socioeconomic data to the Department of Education. Please see the Special Assistance Guidance Manual for a complete list of approved data. Is the data complete and attached to this form. Y___N___

I CERTIFY that the information in this application is true, and that I agree to carry out the terms of the agreement to operate the Special Assistance Program. I understand that this information is given in connection with the receipt of federal funds and that deliberate misinterpretation may be subject to prosecution under applicable federal statutes.

Print name (authorized signatory): _____

Signature: _____ Date: _____

FOR OFFICE USE ONLY

Date of Last Review _____ Passed Y___N___

Approved: Y___N___ Original Base Year _____ Provision _____

Approving Specialist _____ Date _____

Additional information/comments: (Specialist, please sign and date) _____

of Extension Years Approved _____ Next Base Year _____

Appendix K – Duration of Provision 2 & 3 Recordkeeping Requirements

Type of Record	Recordkeeping	Retention	Availability
Base Year			
Socioeconomic data	TANF, FDPIR, direct certification, local zoning, etc., or approved alternate	Cycle, extensions, + 3 years	SFA or school
Eligibility certification	Applications, direct certification, benefit issuance documents	Cycle, extensions, + 3 years	SFA by school, or school
Verification Changes	Changes in eligibility status as a result of verification description	Cycle, extensions, + 3 years	SFA or SA
Meal Counting	Documentation of meal counts, by type.	Cycle, extensions, + 3 years	School
Base Year Reimbursement Claims	Claim forms	Cycle, extensions, + 3 years	SFA
Extensions	Statistical method and all supporting documents; and socioeconomic data source; and extension authorizations	Cycle, extensions, + 3 years	SFA or school
Attendance Area of Each Provision 2 School	Description of area served by school	Cycle, extensions, + 3 years	SFA or school
Calculation of Claiming Percentages	Documentation of calculation of claiming percentages	Cycle, extensions, + 3 years	SFA or school
Non-Base Year			
Reimbursement Claims -- Non-Base Year	Claim forms	Current FY + 3 years	SFA
Meal Counts	Documentation of total reimbursable meal counts by school	Current FY + 3 years	SFA or school